



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/409,370	09/30/1999	CHRISTOPHER SHANE CLAUSSEN	AT9-99-485	5278

7590 02/20/2003

LAW OFFICE OF JOSEPH R. BURWELL
P.O. BOX 28022
AUSTIN, TX 78755-8022

EXAMINER

BIENEMAN, CHARLES A

ART UNIT	PAPER NUMBER
----------	--------------

2176

DATE MAILED: 02/20/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Applicant(s)

09/409,370

Applicant(s)

CLAUSSEN ET AL.

Examiner

Charles A. Bieneman

Art Unit

2176

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 30 September 1999 and 24 September 2002.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 24 September 2002 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 6.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other:

DETAILED ACTION

1. This action is responsive to the following communications: original application filed on September 30, 1999 and Information Disclosure Statement and Formal Drawings filed on September 24, 2002.
2. Claims 1-20 are pending. Claims 1 and 20 are independent claims.

Information Disclosure Statement

3. In the Information Disclosure Statement filed September 24, 2002 the crossed-out reference was not considered because its publication date is after the application's filing date.

Drawings

4. The corrected or substitute drawings were received on September 24, 2002. These drawings are acceptable.

Specification

5. The specification is objected to because it contains a copyright notice that does not conform with 37 CFR 1.71, which provides in relevant part:

(d) A copyright or mask work notice may be placed in a design or utility patent application adjacent to copyright and mask work material contained therein. The notice may appear at any appropriate portion of the patent application disclosure. For notices in drawings, see § 1.84(s). The content of the notice must be limited to only those elements provided for by law. For example, "©1983 John Doe" (17 U.S.C. 401) and "*M* John Doe" (17 U.S.C. 909) would be properly limited and, under current statutes, legally sufficient notices of copyright and mask work, respectively. Inclusion of a copyright or mask work notice will be permitted only if the authorization language set forth in paragraph (e) of this section is included at the beginning (preferably as the first paragraph) of the specification.

(e) The authorization shall read as follows:

A portion of the disclosure of this patent document contains material which is subject to (copyright or mask work) protection. The (copyright or mask work) owner has no objection to the facsimile reproduction by any- one of the patent document or the patent disclosure, as it appears in the Patent and Trademark Office patent file or records, but otherwise reserves all (copyright or mask work) rights whatsoever.

Appropriate correction is required.

Art Unit: 2176

6. A substitute specification including the claims is required pursuant to 37 CFR 1.125(a) because each page of the specification contains numerous typographical errors and portions of the specification and the claims are single-spaced such as to make reading and entry of amendments difficult. Examples of typographical errors from the first two pages of the specification include page 1, lines 15 and 19 and page 2, lines 2, 10 and 11.

7. A substitute specification filed under 37 CFR 1.125(a) must only contain subject matter from the original specification and any previously entered amendment under 37 CFR 1.121. If the substitute specification contains additional subject matter not of record, the substitute specification must be filed under 37 CFR 1.125(b) and must be accompanied by: 1) a statement that the substitute specification contains no new matter; and 2) a marked-up copy showing the amendments to be made via the substitute specification relative to the specification at the time the substitute specification is filed.

Claim Objections

8. **Claims 1-20** are objected to because of the following informalities: spaces are missing between words and/or numerals in every claim, or almost every claim. For example, in claim 1, line 1 the “model” and “(DOM”) should be separated by a space. In claim 2, line 1 the word “claim” and the numeral “1” should be separated by a space. In claim 11, line 7, a series of periods precedes the word “having.” Other examples not enumerated here abound. Appropriate correction is required.

9. **Claim 7** is objected to under 37 CFR 1.75(c), as being of improper dependent form for failing to further limit the subject matter of a previous claim. Applicant is required to cancel the claim(s), or amend the claim(s) to place the claim(s) in proper dependent form, or rewrite the

Art Unit: 2176

claim(s) in independent form. The fact that the claimed method is a translation method does not alter or add to the steps recited in claim 1, and therefore the recitation of claim 7 does not further limit claim 1.

Claim Rejections - 35 USC § 103

10. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

11. **Claims 1-20** are rejected under 35 U.S.C. 103(a) as being unpatentable over World Wide Web Consortium, *Document Object Model (DOM) Level 1 Specification, Version 1.0* (October 1, 1998), pp. 1-94, in view of U.S. Patent Application Publication number 2003/0028561 A1 of Gounares et al., published February 6, 2003, filed May 19, 1999. With respect to the rejection of each dependent claim below, the preceding rejection(s) of the relevant base claim(s) is incorporated therein.

Regarding **independent claim 1**, *DOM Level 1 Specification* teaches upon encountering a tag, passing given information to a method inasmuch as *DOM Level 1 Specification* teaches traversing an XML DOM (*DOM Level 1 Specification*, p. 38, lines 34-35: "By far the vast majority of objects (apart from text) that authors encounter when traversing a document are element nodes."), and provides a list of methods to which information regarding the tag can be passed. (E.g., *DOM Level 1 Specification*, pp. 39-40, describing the `getAttribute` method.)

Further, *DOM Level 1 Specification* teaches having the method generate a string. (E.g., *DOM Level 1 Specification*, p. 40, describing the return value of the `get Attribute` method.)

Art Unit: 2176

Further, *DOM Level 1 Specification* does not teach parsing the string into a new DOM tree inasmuch as the string taught by *DOM Level 1 Specification* is not designed for that purpose. However, Gounares et al. teach generating a string that represents a portion of an XML or HTML DOM tree (Gounares et al., p. 6, para. 68.), and moreover it would have been obvious to one of ordinary skill in the art to generate such a string inasmuch as Gounares et al. explains that the string has the benefit of “representing the locations of the tree data 514 in a logical, sequential structure that is portable from one view to another.” (Gounares et al., p. 6, para. 65, lines 6-8.)

Further, *DOM Level 1 Specification* teaches replacing the given node and any child nodes with the new DOM tree inasmuch as *DOM Level 1 Specification* teaches replacing, inserting and removing nodes which may themselves have children. (*DOM Level 1 Specification*, pp. 29-31, describing methods insertBefore, replaceChild, removeChild, and appendChild; see also p. 21, lines 27-29: “[V]arious operations – such as inserting nodes as children of another Node [p. 25] – may take DocumentFragment objects as arguments; this results in all the child nodes of the DocumentFragment being moved to the child list of this node.”)

Regarding **dependent claim 2**, *DOM Level 1 Specification* inherently teaches the new DOM tree having a root node positioned at the given node in the tree inasmuch as inserting a DocumentFragment as described in the previous paragraph would have positioned a root node at the given node in the tree.

Regarding **dependent claim 3**, *DOM Level 1 Specification* teaches the given information being a text string inasmuch as the last line of page 39 states that a parameter of the getAttribute function is the name of the attribute to retrieve.

Regarding **dependent claim 4**, *DOM Level 1 Specification* does not teach that the text string is a representation of XML in the DOM tree at the given node and any child nodes of the given node. However Gounares et al. teach passing a text string representing XML in a DOM tree to a method upon encountering a tag inasmuch as they teach passing XML strings to an interface for placement in a new XML document which inherently would have required passing the strings into a method. (Gounares et al., para. 72, lines 6-10: "The update processor 532 sends the document changes 504 to the ITreeSyncBehavior interface 534 in the form of character strings representing the data content and the character position locations of the data content.") As noted above regarding claim 1, Gounares et al. explain the benefit of using strings to represent XML. Moreover, one of ordinary skill in the art would have recognized that it would have been logical and complete to process not only the node but all its children, given that child nodes in a tree structure depend upon their parents. Therefore, it would have been obvious to one of ordinary skill in the art to have made the text string a representation of XML in the DOM tree at the given node and any child nodes of the given node.

Regarding **dependent claim 5**, *DOM Level 1 Specification* does not explicitly teach that the string generated by the method is XML. However, as noted above regarding claim 1, it would have been obvious to one of ordinary skill in the art in view of Gounares et al. to have the string generated by the method be XML.

Regarding **dependent claim 6**, *DOM Level 1 Specification* teaches the given information being the given node inasmuch as *DOM Level 1 Specification* teaches methods that accept nodes as parameters. (E.g., *DOM Level 1 Specification*, p. 29, description of insertBefore method.)

Regarding **dependent claim 7**, *DOM Level 1 Specification* does not teach that the method is a translation method. However, as noted above regarding claim 1, Gounares et al. teach translating XML into a text string, and further explain the benefit of doing so. Therefore, it would have been obvious to one of ordinary skill in the art to have had the method be a translation method.

Regarding **dependent claim 8**, *DOM Level 1 Specification* does not teach that the tag is a marker that initiates invocation of a handler. However, *DOM Level 1 Specification* teaches a ProcessingInstruction interface that “represents a ‘processing instruction’, used in XML as a way to keep processor-specific information in the text of the document.” (*DOM Level 1 Specification*, p. 46, 2nd and 3rd lines from the bottom of the page.) This would have suggested to one of ordinary skill in the art that the tag is a marker that initiates invocation of a handler because one of ordinary skill would have recognized that a processing instruction required processing, *i.e.*, invocation of a handler. Therefore, it would have been obvious to one of ordinary skill in the art to make the tag a marker that initiates invocation of a handler.

Regarding **independent claim 9**, *DOM Level 1 Specification* teaches upon encountering a tag, passing given information to a method as discussed above regarding claim 1. Further, as discussed above regarding claim 4 it would have been obvious over *DOM Level 1 Specification* in view of Gounares et al. to generate a string representing the XML in the DOM tree at the given node and any child nodes and to pass that string as the given information.

Further, *DOM Level 1 Specification* does not teach having the method generate an XML string. However, as discussed above regarding claim 5, this would have been obvious over *DOM Level 1 Specification* in view of Gounares et al.

Art Unit: 2176

Further, *DOM Level 1 Specification* does not teach parsing the XML string into a new DOM tree having a root node, although as noted above regarding claim 2 *DOM Level 1 Specification* inherently teaches a root node in any DOM tree and further it would have been obvious to one of ordinary skill in the art to parse the XML string into a DOM tree inasmuch as *DOM Level 1 Specification* teaches that the DOM provides the benefits of allowing documents to be easily built, navigated, and edited. (*DOM Level 1 Specification*, p. 10, lines 7-10.)

Further, as noted above regarding claim 1, *DOM Level 1 Specification* teaches replacing the given node and any child nodes with the new DOM tree, and, as noted above regarding claim 2, *DOM Level 1 Specification* inherently teaches the new DOM tree having a root node positioned at the given node in the tree.

Regarding **independent claim 10**, *DOM Level 1 Specification* teaches upon encountering a tag, passing given information to a method as discussed above regarding claim 1.

Further, *DOM Level 1 Specification* does not teach having the method generate an XML string. However, as discussed above regarding claim 5, this would have been obvious over *DOM Level 1 Specification* in view of Gounares et al.

Further, *DOM Level 1 Specification* does not teach parsing the XML string into a new DOM tree having a root node, although as noted above regarding claim 2 *DOM Level 1 Specification* inherently teaches a root node in any DOM tree and further it would have been obvious to one of ordinary skill in the art to parse the XML string into a DOM tree inasmuch as *DOM Level 1 Specification* teaches that the DOM provides benefits of allowing documents to be easily built, navigated, and edited. (*DOM Level 1 Specification*, p. 10, lines 7-10.)

Art Unit: 2176

Further, as noted above regarding claim 1, *DOM Level 1 Specification* teaches replacing the given node and any child nodes with the new DOM tree, and, as noted above regarding claim 2, *DOM Level 1 Specification* inherently teaches the new DOM tree having a root node positioned at the given node in the tree.

Regarding **independent claim 11**, *DOM Level 1 Specification* teaches (a) processing the DOM tree to locate a tag as discussed above regarding claim 1. Further, the tag is inherently a custom tag inasmuch as *DOM Level 1 Specification* applies to XML, a markup language in which all tag are custom, *i.e.*, defined by a user or developer.

Further, *DOM Level 1 Specification* teaches (b)(i) upon encountering a tag, passing given information to a method as discussed above regarding claim 1.

Further, *DOM Level 1 Specification* teaches (b)(ii) having the method generate a string as discussed above regarding claim 1.

Further, *DOM Level 1 Specification* does not teach (b)(iii) parsing the string into a new DOM tree, but this would have been obvious over Gounares et al., as noted above regarding claim 1.

Further, *DOM Level 1 Specification* teaches replacing the given node and any child nodes with the new DOM tree, as discussed above regarding claim 1.

Further, *DOM Level 1 Specification* does not teach repeating the steps of the method. However, it was well known in the art to repeatedly apply processing to tree structures until all nodes had been appropriately processed, and therefore it would have been obvious to one of ordinary skill in the art to repeat steps (a)-(b).

Art Unit: 2176

Regarding **dependent claim 12**, the rejection of claim 3 above is fully incorporated herein.

Regarding **dependent claim 13**, the rejection of claim 4 above is fully incorporated herein.

Regarding **dependent claim 14**, the rejection of claim 6 above is fully incorporated herein.

Regarding **independent claim 15**, *DOM Level 1 Specification* inherently teaches a computer program product in a computer-readable medium inasmuch as on page 16 it teaches interfaces that would have been accessed using a computer program product in a computer-readable medium.

Further, the rejection of claim 1 above is fully incorporated herein.

Regarding **dependent claim 16**, the rejection of claim 4 above is fully incorporated herein.

Regarding **dependent claim 17**, *DOM Level 1 Specification* does not teach that the given information is the text representation. However, as noted above regarding claim 4, Gounares et al. teach passing a text string representing XML in a DOM tree to a method upon encountering a tag and also explain the benefit of using text strings to represent XML. Therefore, it would have been obvious to one of ordinary skill in the art to make the given information is the text representation.

Regarding **dependent claim 18**, the rejection of claim 6 above is fully incorporated herein.

Regarding **dependent claim 19**, the rejection of claim 5 above is fully incorporated herein.

Regarding **independent claim 20**, *DOM Level 1 Specification* inherently teaches a computer program product in a computer-readable medium inasmuch as on page 16 it teaches interfaces that would have been accessed using a computer program product in a computer-readable medium. Further, *DOM Level 1 Specification* inherently teaches custom tags inasmuch as *DOM Level 1 Specification* applies to XML, a markup language in which all tag are custom, *i.e.*, defined by a user or developer.

Further, the rejection of claim 15 above is fully incorporated herein.

Conclusion

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

U.S. Patent Number 6,480, 865 B1, to Lee et al., issued November 12, 2002, is assigned to the same assignee as the present application, but is cited to show the general state of the art at the time of applicants' claimed invention.

12. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Charles A. Bieneman whose telephone number is 703-305-8045. The examiner can normally be reached on Monday - Thursday, 7:00 a.m. - 5:30 p.m..


If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Heather Herndon can be reached on 703-308-5186. The fax phone numbers for the organization where this application or proceeding is assigned are 703-746-7239 for regular communications and 703-746-7238 for After Final communications.

Art Unit: 2176

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-305-4700.

CAB

February 10, 2003


HEATHER R. HERNDON
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100